

State of Montana
Quality Assurance Review
AWARE Inc. Case Management for Region 3
(Red Lodge and Hardin)

SCOPE OF REVIEW:

The purpose of this summary is to evaluate the Case Management services provided by Aware Inc. to developmentally disabled individuals served in Region 3, the cities of Red Lodge and Hardin. Services were reviewed based on the July 07 Quality Assurance Standards for Case Management. The period of Review was from July of 06 through January of 08. Two files were reviewed for each Case Manager: one file of an individual in services, and one file for an individual receiving Case Management services only.

Individuals in Services Case Files:

- **Client Surveys** – Client surveys were completed on all four of the files reviewed. The Case Managers in both cities are using the old client survey form. With the PSP the new form has all the information gathering information and the client survey questions included in it.
- **Waiver 5 Form** - The Waiver 5 Form was completed on each consumer and was present in the Client File. It is suggested that the original Waiver 5 be sent with the PSP that goes to the Regional office. The Case Manager should be keeping a copy or have the QIS sign it and send them a copy for their files.

Individuals in Services Case Files: (continued)

- **Annual IP/PSP** – All individuals have had either an IP or a PSP. No deficiencies were noted for this section.
- **Quarterly Reports** – Quarterly reports were present in all four of the files surveyed. There was one quarterly that did not appear to be reviewed as it was not initialed or mentioned in the contact notes. All other files indicated the Case Manager reviewed the quarterly reports and compared them to the PSP.
- **IP/PSP Revised, if needed** – 3 out of the 4 files reviewed did not need PSP revisions, one file did need a revision and this was done in a timely fashion and reflected appropriately in the PSP. No deficiencies were noted at the time of this review.
- **Services Delivered According to IP/PSP** – All of the files reviewed showed that services were delivered according to what was written in the plan. It was noted that one of the files reviewed in the sample did not have completion dates written on the action steps and one of the files reviewed did not have review dates written on the action steps.
- **Services Coordinated** – Of the files reviewed there were numerous examples of service coordination. Through out the PSP/IP's reviewed there are several areas where the Case Managers assisted with service coordination. No deficiencies were noted.
- **Abuse, Neglect, and Exploitation Protocols Followed** – Case Managers are not part of the Developmental Disabilities Program Incident Management system. This may be something that Aware Case Management should be a part of. No deficiencies were noted. The case managers are working with Adult Protective Services in Eastern Montana to develop a card with steps for the client to take to contact APS on their own.

Individuals in Services Case Files: (continued)

- **Provides Training re Abuse Reporting** – This is a new requirement with the 0208 Waiver. Questions ask by the QIS's to individuals, guardians, or people who know them best indicated most individuals would call the police or tell someone they trust. It is suggested that any training revolving around abuse reporting be noted by Case Managers in their contacts. This is a good example of how to cover this requirement.
- **Provides Technical Assistance for Wavier** – This could be reviewed at the annual meeting or if the individual or guardian requests information about other waiver services. It is suggested that waiver services be addressed at least annually (prior to the PSP) or when an individual or guardian has questions about other waiver services. It is suggested that these be noted in the contacts.
- **Face to Face Contacts** – 3 of the 4 files reviewed showed that the Case Managers met or exceeded the standard 4 face to face contacts. One file showed there was only 3 direct contacts, however; it was clearly documented in contact notes that the Case Manager had made several attempts to meet with the individual and the individual either did not show up, was not at home or cancelled. It is recommended that attempts to meet with people continue to be clearly documented. The face to face contact requirements have changed this year from 4 to 6.

Individuals with Case Management Services Only:

- **Completed, Current Individuals Service Plan** – All individuals files surveyed had Individual Service Plans that were being actively used. These were found to be updated on a regular basis, good job on this.
- **Referrals Up-to-Date** – All individuals surveyed had referrals in their files. 3 of the 4 files had yearly updated referrals with current information.
- **Additional Available Resources Being Accessed** – Of the files sampled there are plenty of examples of Case Managers going above and beyond in helping individuals and there families to get needed services. Many of the individuals and families would fall through the cracks without Case Managers there to help them access the services they need.
- **Face-to-Face Contacts** –Case managers met or exceeded the number of required face-to-face contacts to meet this requirement. With all of the changes in our system, turn over in Case Management, and the wide geographically area the case managers cover this is a very commendable accomplishment. The number of face-to-face contacts will be increasing form 2 to 4 in the coming year.

Conclusion:

In Red Lodge there continues to be issue centered on communication and poor working relationships between RSD and AWARE Case Management. This is an ongoing problem that has continued to surface over the last 7 to 8 years. It is noted during the review that positive steps are being taken to remedy the situation. Monthly meetings between RSD and AWARE Case Management have started and should continue to keep lines of communication open. So far these meetings have produced positive results about sharing information and fostered communication between both parties. A protocol has been implemented concerning how to handle any difficulties that arise between both parties. It is hoped that these steps will help foster a better working relationship in the future.

The break down of the Case Managers is as follows: Aware has 16 FTE's and they serve 511 individuals, which breaks down to an average case load of 32, this is below the current contract ratio of 35.

We would like to thank everyone who assisted us in this process and for your cooperation.

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